

TOP TEN FEDERAL DEFICIENCIES FOR ESRD CERTIFICATION
(01-01-05 through 12-31-05)

1. 405.2136 GB: Health and Safety
2. 405.2136(d) Personnel P/P: Good Practices
3. 405.2139(a) Medical Records: Orders
4. 405.2140(a)(5)(ii) AAMI Chemical Contaminants
5. 405.2139(a) Medical Records: Identify, Justify, Document
6. 405.2140(a)(2) PE: Equipment Maintenance Program
7. 405.2140(b)(1) PE: Infection Control
8. 405.2162(a) Registered Nurse
9. 405.2136 Governing Body and Management
10. 405.2137(a) Written Long-Term Plan

Tag 0112:

The governing body adopts and enforces rules and regulations relative to the health care and safety of patients.

Tag 0143:

The governing body, through the chief executive officer of the ESRD facility, is responsible for maintaining and implementing written personnel policies and procedures that promote good personnel practices.

Tag 0240:

All medical records contain diagnostic and therapeutic orders.

Tag 0264:

AAMI 3.2.2) Maximum Level of Chemical Contaminants.

The water used to prepare dialysate shall not contain chemical contaminants at concentrations in excess of those in AAMI's Table 2. The manufacturer or supplier of the water treatment device shall recommend a system capable of meeting the requirements of this section. The physician in charge of dialysis has the ultimate responsibility for selecting the water treatment system and is also responsible for monitoring the water.

Table 2 - Hemodialysis Water Quality: Maximum Allowable Chemical Contaminant Levels:

Contaminant	Suggested Max Level
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Calcium	2 (0.1 mEq/l)
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Magnesium	4 (0.3 mEq/l)
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Sodium**	70 (3.0 mEq/l)
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Potassium	8 (0.2 mEq/l)
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Fluoride	0.2
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Chlorine (free)	0.5
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Chloramine	0.1
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Nitrate (N)	2.0
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Sulfate	100.0
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Copper, Barium,	each 0.1
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Zinc	
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Aluminum	0.01
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Arsenic, Lead,	each 0.005
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Silver	
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Cadmium	0.001
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Chromium	0.014
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Selenium	0.09
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Mercury	0.0002
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**230 mg/l (10mEq/l) where sodium concentration has been reduced to compensate for the excess sodium in the water, as long as conductivity of the water is being continually monitored.

Tag 0231:

Each patient's medical record contains sufficient information to identify the patient clearly, to justify the diagnosis and treatment, and to document the results accurately.

Tag 0258:

All electrical and other equipment used in the facility is maintained free of defects which could be a potential hazard to patients and personnel. There is established a planned program of preventive maintenance of equipment used in dialysis and related procedures in the facility.

Tag 0266:

There are written policies and procedures in effect for preventing and controlling hepatitis and other infections. These policies include, but are not limited to, appropriate procedures for surveillance and reporting of infections, housekeeping, handling and disposal of waste and contaminants, and sterilization and disinfection, including the sterilization and maintenance of equipment. Where dialysis supplies are reused, there are written policies and procedures covering the rinsing, cleaning, disinfection, preparation, and storage of reused items which conform to requirements for reuse in 405.2150.

Tag 0431:

The dialysis facility employs at least one full time qualified nurse responsible for nursing service. (See 405.2102.)

Tag 0110:

The ESRD facility is under the control of an identifiable governing body, or designated person(s) so functioning, with full legal authority and responsibility for the governance and operation of the facility.

Tag 0187:

There is a written long-term program representing the selection of a suitable treatment modality (i.e., dialysis or transplantation) and dialysis setting (i.e., home, self-care) for each patient.